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JC984 U.S. PTO

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Approved for use through 10/31/2002. OMB 0651-0032

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	A064
First Inventor	Anthony J. TICKNOR
Title	WAVEPLATE FOR OPTICAL...
Express Mail Label No.	EL798608548US

JC986 U.S. PTO

09/916073



07/26/01

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 18]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 3]
5. Oath or Declaration [Total Pages 2]
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

**ADDRESS TO:** Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☒ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: Certificate of Mailing

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Prior application information: Examiner: \_\_\_\_\_ Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**☒ Customer Number or Bar Code Labelor ☐ Correspondence address below

Name

23623

PATENT TRADEMARK OFFICE

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Gregory Turocy

Registration No. (Attorney/Agent)

36,952

Signature

Date

July 26 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

# FEE TRANSMITTAL

Patent fees are subject to annual revision on October 1.  
These are the fees effective November 10, 1998.  
Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.  
See 37 C.F.R. §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT (\$ ) 413.00

## Complete if Known

Application Number  
Filing Date **HEREWITH**  
First Named Inventor **Anthony J. TICKNOR**  
Examiner Name  
Group / Art Unit  
Attorney Docket No. **A064**

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:
- Deposit Account Number **50-1063**  
Deposit Account Name **Amin & Turocy**
- ☒ Charge Any Additional Fee Required Under 37 C.F.R. §§ 1.16 and 1.17 ☐ Charge the Issue Fee Set in 37 C.F.R. § 1.18 at the Mailing of the Notice of Allowance

2. ☒ Payment Enclosed:  
☒ Check ☐ Money Order ☐ Other

## FEE CALCULATION

1. BASIC FILING FEE					
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid		
101 760	201 380	Utility filing fee	355		
106 310	206 155	Design filing fee			
107 480	207 240	Plant filing fee			
108 760	208 380	Reissue filing fee			
114 150	214 75	Provisional filing fee			
SUBTOTAL (1)			(\$ ) 355.00		

2. EXTRA CLAIM FEES					
Total Claims	Extra Claims	Fee from below	Fee Paid		
22	-20** = 2	9	18		
3	-3** =				
Multiple Dependent					

\*\*or number previously paid, if greater; For Reissues, see below

Large Entity Fee Code (\$)		Small Entity Fee Code (\$)		Fee Description	
103 18	203 9	Claims in excess of 20			
102 78	202 39	Independent claims in excess of 3			
104 260	204 130	Multiple dependent claim, if not paid			
109 78	209 39	** Reissue independent claims over original patent			
110 18	210 9	** Reissue claims in excess of 20 and over original patent			
SUBTOTAL (2)			(\$ ) 18.00		

## FEE CALCULATION (continued)

3. ADDITIONAL FEES						
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid			
105 130	205 65	Surcharge - late filing fee or oath				
127 50	227 25	Surcharge - late provisional filing fee or cover sheet.				
139 130	139 130	Non-English specification				
147 2,520	147 2,520	For filing a request for reexamination				
112 920*	112 920*	Requesting publication of SIR prior to Examiner action				
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action				
115 110	215 55	Extension for reply within first month				
116 380	216 190	Extension for reply within second month				
117 870	217 435	Extension for reply within third month				
118 1,360	218 680	Extension for reply within fourth month				
128 1,850	228 925	Extension for reply within fifth month				
119 300	219 150	Notice of Appeal				
120 300	220 150	Filing a brief in support of an appeal				
121 260	221 130	Request for oral hearing				
138 1,510	138 1,510	Petition to institute a public use proceeding				
140 110	240 55	Petition to revive - unavoidable				
141 1,210	241 605	Petition to revive - unintentional				
142 1,210	242 605	Utility issue fee (or reissue)				
143 430	243 215	Design issue fee				
144 580	244 290	Plant issue fee				
122 130	122 130	Petitions to the Commissioner				
123 50	123 50	Petitions related to provisional applications				
126 240	126 240	Submission of Information Disclosure Stmt				
581 40	581 40	Recording each patent assignment per property (times number of properties)				
146 760	246 380	Filing a submission after final rejection (37 CFR 1.129(a))				
149 760	249 380	For each additional invention to be examined (37 CFR 1.129(b))				
Other fee (specify) _____						
Other fee (specify) _____						
* Reduced by Basic Filing Fee Paid						
SUBTOTAL (3)			(\$ ) 40.00			

## SUBMITTED BY

Typed or Printed Name **Gregory Turocy**

Signature 

Date **July 26 2001**

## Complete (if applicable)

Reg. Number **36,952**

Deposit Account User ID

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**Docket No.:** A064  
**Applicant:** Anthony J. Ticknor  
**Title:** WAVEPLATE FOR OPTICAL INTEGRATED CIRCUITS  
AND METHODS FOR MANUFACTURING THE SAME

I hereby certify that the attached patent application (along with any other paper referred to as being attached or enclosed) is being deposited with the United States Postal Service on this date 7/24/01, in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EL798608548US addressed to: Box Patent Applications, Assistant Commissioner for Patents, Washington, D.C. 20231.

Michelle N. Kellhofer  
(Typed or Printed Name of Person Mailing Paper)

Michelle N. Kellhofer  
(Signature of Person Mailing Paper)

**REQUEST AND CERTIFICATION  
UNDER  
35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor Anthony J. TICKNOR

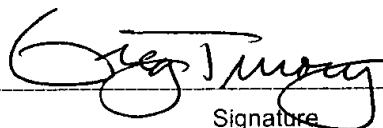
Title Waveplate for Optical Integrated...

Atty Docket Number A064

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

7/26/01

Date

  
Signature

Gregory Turocy

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

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